

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
**AZU.002**

In Re Application Of: **Yukio NARUKAWA et al.**

Serial No.  
**NEW**

Filing Date  
**OCT. 20, 2003**

Examiner  
**TO BE ASSIGNED**

Group Art Unit  
**TO BE ASSIGNED**

Title: **NITRIDE SEMICONDUCTOR DEVICE, AND ITS FABRICATION PROCESS**

Address to:  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
AZU.002

In Re Application: ' Yukio NARUKAWA et al.

Serial No.  
NEW

Filing Date  
OCT. 20, 2003

Examiner  
TO BE ASSIGNED

Group Art Unit  
TO BE ASSIGNED

**NITRIDE SEMICONDUCTOR DEVICE, AND ITS FABRICATION PROCESS**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Director is hereby authorized to charge and credit Deposit Account as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F:

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on \_\_\_\_\_ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

\_\_\_\_\_  
Signature of Person Mailing Correspondence

\_\_\_\_\_  
Typed or Printed Name of Person Mailing Certificate

**\*This certificate may only be used if paying by deposit account.**

Dated: OCT. 20, 2003

  
Signature

ADAM C. VOLENTINE  
REG. NO. 33289

VOLENTINE FRANCOS, PLLC  
12200 SUNRISE VALLEY DRIVE, SUITE 150  
RESTON VA 20191

TEL. NO. (703) 715-0870

CC:

**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)

Docket Number (Optional)

AZU.002

Application Number

NEW

Applicant(s)

Yukio NARUKAWA et al.

Filing Date

OCT. 20, 2003

Group Art Unit

TO BE ASSIGNED

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A	6,229,151	05/08/2001	TAKEUCHI et al.			

**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
	B	9-331116	12/22/1997	JAPAN			✓ ABSTRACT	
	C	2001-28458	01/30/2001	JAPAN			✓ ABSTRACT	

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

	D	P. Waltereit et al., "Nitride semiconductors free of electrostatic fields for efficient white light-emitting diodes", Nature, vol. 406, 24 August 2000, pages 865-868.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.